

01-29-01 A

## EXPRESS MAIL CERTIFICATE

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated below and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

|                       |   |                  |                   |
|-----------------------|---|------------------|-------------------|
| Typed or Printed Name | Margaret D. Pierce  | Express Mail No. | EL 563 388 449 US |
| Signature             |  | Date             | January 26, 2001  |

## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                      |  |
|----------------------|--|
| CUSTOMER NO.         | 24353  |
| Docket No.           | IRVN-005CIP  |
| First Named Inventor | Thompson et al.  |
| Title:               | "TREATING TUMORS USING IMPLANTS COMPRISING COMBINATIONS OF ALLOGENEIC CELLS" |

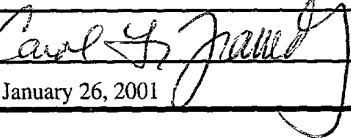


01/26/01

|  |  |  |
|--|--|--|
| <b>APPLICATION ELEMENTS</b>  |  | Assistant Commissioner for Patents<br>Address to: Box Patent Application<br>Washington, D.C. 20231 |
| <p>See MPEP chapter 600 concerning utility patent application contents</p> <p>1. <input checked="" type="checkbox"/> Fee Transmittal Form -<i>in duplicate</i></p> <p>2. <input checked="" type="checkbox"/> Specification Total Pages <u>66</u><br/>           (preferred arrangement set forth below)<br/>           - Descriptive title of the invention<br/>           - Cross Reference to Related Applications<br/>           - Statement Regarding Fed sponsored R &amp; D<br/>           - Reference to Microfiche Appendix<br/>           - Background of the Invention<br/>           - Brief Summary of the Invention<br/>           - Brief Description of the Drawings (if filed)<br/>           - Detailed Description<br/>           - Claim(s)<br/>           - Abstract of the Disclosure</p> <p>3. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) Total Sheets <u>07</u></p> <p>4. <input checked="" type="checkbox"/> Oath or Declaration (in counterparts) Total Sheets <u>4</u><br/>           a. <input checked="" type="checkbox"/> Newly executed (original or copy)<br/>           b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)<br/>           (for continuation/divisional with Box 16 completed)<br/>           i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u><br/>           Signed statement attached deleting<br/>           inventor(s) named in the prior application,<br/>           see 37 CFR 1.63(d)(2) and 1.33(b)<br/>           c. <input type="checkbox"/> Unsigned</p> <p>5. <input type="checkbox"/> Microfiche Computer Program (<i>Appendix</i>)</p> <p>6. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission<br/> <i>(if applicable, all necessary)</i><br/>           a. <input type="checkbox"/> Computer Readable Copy<br/>           b. <input type="checkbox"/> Paper Copy (identical to computer copy)<br/>           c. <input type="checkbox"/> Statement verifying identity of above copies</p> |  |  |
| <b>ACCOMPANYING APPLICATION PARTS</b>  |  |  |
| <p>7. <input type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</p> <p>8. <input type="checkbox"/> 37 CFR 3.73(b) Statement — Power of<br/> <i>(when there is an assignee)</i> — Attorney</p> <p>9. <input type="checkbox"/> English Translation Document (<i>if applicable</i>)</p> <p>10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 — Copies of IDS<br/>           Citations</p> <p>11. <input type="checkbox"/> Preliminary Amendment</p> <p>12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br/> <i>(Should be specifically itemized)</i></p> <p>13. <input checked="" type="checkbox"/> The Undersigned hereby asserts that Applicants are<br/>           entitled to Small Entity status as defined under 37 CFR §<br/>           1.27.</p> <p>14. <input type="checkbox"/> Certified Copy of Priority Document(s)<br/> <i>(if foreign priority is claimed)</i></p> <p>15. <input checked="" type="checkbox"/> Other: Application Cover Page</p>  |  |  |
| <p>16. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:<br/> <input checked="" type="checkbox"/> Continuation-in-part (CIP) of prior application No. <u>09/169,561, filed October 9, 1998</u>.</p>   |  |  |

**UTILITY PATENT APPLICATION TRANSMITTAL**  
(Only for new non-provisional applications under 37 CFR 1.53(b))

| 17. CORRESPONDENCE ADDRESS |                                 |           |                |
|----------------------------|---------------------------------|-----------|----------------|
| Individual Name            | Carol L. Francis                |           |                |
| Firm Name                  | BOZICEVIC, FIELD & FRANCIS LLP  |           |                |
| Address                    | 200 Middlefield Road, Suite 200 |           |                |
| City, State, Zip           | Menlo Park, CA 94025            |           |                |
| Country                    | U.S.A.                          |           |                |
| Telephone                  | (650) 327-3400                  | Facsimile | (650) 327-3231 |

| SIGNATURE of Applicant or Assignee of Record |   |
|--|---|
| Individual Name                              | Carol L. Francis  |
| Registration No.                             | 36,513  |
| Signature                                    |  |
| Date   | January 26, 2001  |

P:\DOCUMENT\IRVN (UC Irvine)\005CIP\application transmittal.wpd

## FEE TRANSMITTAL

*Note: Effective October 1, 1998.  
Patent fees are subject to annual revision.*

|                        |                             |
|------------------------|-----------------------------|
| CUSTOMER NO.           | 24353                       |
| Attorney Docket Number | IRVN-005CIP                 |
| First Named Inventor   | Thompson et al.             |
| Application Number     | Unassigned                  |
| Filing Date            | Herewith (January 26, 2001) |
| Group Art Unit         | Unassigned                  |
| Examiner Name          | Unassigned                  |

## **METHOD OF PAYMENT**

The Undersigned hereby asserts that Applicants are entitled to Small Entity Status as defined under 37 CFR § 1.27.  
2.  The Commissioner is hereby authorized to charge the following and any additional fees including fees required under 37 CFR 1.16 and 1.17 and credit any overpayments to: Deposit Account No. 50-0815.

**Deposit Account Name: Bozicevic, Field & Francis LLP**

## **FEE CALCULATION**

**1. FILING FEE**

| <u>Large Fee Code</u> | <u>Entity Fee (\$)</u> | <u>Small Fee Code</u> | <u>Entity Fee (\$)</u> | <u>Fee Description</u> | <u>Fee Due</u> |
|-----------------------|------------------------|-----------------------|------------------------|------------------------|----------------|
| 101                   | 710                    | 201                   | 355                    | Utility filing fee     | \$355.00       |
| 102                   | 320                    | 206                   | 160                    | Design filing fee      |                |
| 104                   | 490                    | 207                   | 245                    | Plant filing fee       |                |
| 109                   | 710                    | 208                   | 355                    | Reissue filing fee     |                |
| 110                   | 150                    | 214                   | 75                     | Provisional filing fee |                |
|                       |                        |                       |                        | Subtotal (1)           | \$355.00       |

## 2. CLAIMS

| <u>No. of claims as filed<br/>or after amendment</u> |    | <u>Most claims<br/>previously paid</u> |    | <u>Extra<br/>claims</u> |   | <u>Fee from<br/>below</u> |         | <u>Fee<br/>Due</u> |
|--|----|--|----|-------------------------|---|---------------------------|---------|--------------------|
| Total claims   | 24 | -                                      | 20 | =                       | 4 | x                         | \$9.00  | =                  |
| Ind. claims  | 1  | -                                      | 3  | =                       | 0 | x                         | \$40.00 | =                  |
| Multiple Dependent claims                            |    |  |    |                         |   | x                         |         | -                  |

| Multiple Dependent Claims |                 |                |                 |  |
|---------------------------|-----------------|----------------|-----------------|--|
| Large Fee Code            | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description                                      |
| 103                       | 18              | 203            | 9               | Claims in excess of 20                               |
| 102                       | 80              | 202            | 40              | Independent claims in excess of 3                    |
| 104                       | 270             | 204            | 135             | Multiple dependent claim                             |
| 109                       | 80              | 209            | 40              | Reissue independent claims over original patent      |
| 110                       | 18              | 210            | 9               | Reissue claims in excess of and over original patent |
|                           |                 |                |                 | Subtotal (2) \$36.00                                 |

#### **ADDITIONAL FEES**

| Large Entity Fee Code | Small Entity Fee Code | Entity Fee (\$) | Fee Description | Fee Due   | Large Entity Fee Code | Small Entity Fee Code | Entity Fee (\$) | Fee Description | Fee Due |  |
|-----------------------|-----------------------|-----------------|-----------------|---|-----------------------|-----------------------|-----------------|-----------------|---------|--|
| 105                   | 130                   | 205             | 65              | Surcharge - late filing fee or oath                       |                       | 127                   | 50              | 227             | 25      | Surcharge - late provisional filing fee or cover sheet         |
| 139                   | 130                   | 139             | 130             | Non-English specification                                 |                       | 147                   | 2,520           | 147             | 2,520   | Filing a request for reexamination                             |
| 115                   | 110                   | 215             | 55              | Ext. for reply within first month                         |                       | 116                   | 390             | 216             | 195     | Ext. for reply within second month                             |
| 117                   | 890                   | 217             | 445             | Ext. for reply within third month                         |                       | 118                   | 1,390           | 218             | 695     | Ext. for reply within fourth month                             |
| 128                   | 1,890                 | 228             | 945             | Ext. for reply within fifth month                         |                       | 119                   | 310             | 219             | 155     | Notice of Appeal   |
| 120                   | 310                   | 220             | 155             | Filing brief in support of appeal                         |                       | 121                   | 270             | 221             | 135     | Request for oral hearing                                       |
| 140                   | 110                   | 240             | 55              | Petition to revive - unavoidable                          |                       | 141                   | 1,240           | 241             | 620     | Petition to revive - unintentional                             |
| 142                   | 1,240                 | 242             | 620             | Utility issue fee (or reissue)                            |                       | 122                   | 130             | 122             | 130     | Petitions to the Commissioner                                  |
| 123                   | 50                    | 123             | 50              | Petitions related to prov. appl.                          |                       | 126                   | 180             | 126             | 180     | Submission of IDS  |
| 146                   | 710                   | 246             | 355             | Filing submission after final rejection (37 CFR 1.129(a)) |                       | 149                   | 710             | 249             | 355     | For each additional invention to be examined (37 CFR 1.129(b)) |
| 112                   | 920*                  | 112             | 920*            | Requesting publication of SIR prior to Examiner action    |                       | 113                   | 1840*           | 113             | 1840*   | Requesting publication of SIR after Examiner action            |
| 143                   | 440                   | 243             | 220             | Design issue fee  |                       | 144                   | 600             | 244             | 300     | Plant issue fee  |
| 581                   | 40                    | 581             | 40              | Recording patent assignment                               |                       | Other fee (specify)   |                 |                 |         |  |

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)\$0.00**

**TOTAL AMOUNT TO BE CHARGED (\$)** 391.00

**SUBMITTED BY**

Complete (if applicable)

|                       |   |      |                  |                 |         |
|-----------------------|---|------|------------------|-----------------|---------|
| Typed or Printed Name | Carol L. Francis, BOZICEVIC, FIELD & FRANCIS LLP                                    |      |                  | Reg. Number     | 36,513  |
| Signature             |  | Date | January 26, 2001 | Deposit Account | 50-0815 |

"Express Mail" Mailing Label No. EL 563 388 449 US

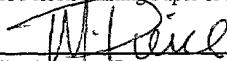
Date of Deposit January 26, 2001

Atty Docket No. IRVN-005CIP  
UC Reference: 98-052-3

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Margaret D. Pierce

Typed or Printed Name of Person Mailing Paper or Fee



Signature of Person Mailing Paper or Fee

## CONTINUATION-IN-PART PATENT APPLICATION

"TREATING TUMORS USING IMPLANTS COMPRISING COMBINATIONS OF ALLOGENEIC CELLS"

TICKET NO. 00000000000000000000000000000000

Carol L. Francis  
Registration No. 36,513  
BOZICEVIC, FIELD & FRANCIS LLP  
200 Middlefield Road, Suite 200  
Menlo Park, CA 94025